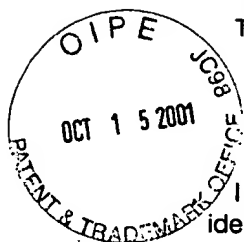


☒ Applicant Milrandt et la. ☐ Patentee _____
☒ Application No. 09/220,920 ☐ Patent No. _____
☒ Filed on December 24, 1998 ☐ Issued on _____
Title: Artemin, A Neurotrophic Factor



STATEMENT OF STATUS AS SMALL ENTITY
(37 C.F.R. § 1.27(a)(3))—NONPROFIT ORGANIZATION

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Nonprofit Organization Washington University
Address of Nonprofit Organization One Brookings Drive
St. Louis, MO 63130

TYPE OF NONPROFIT ORGANIZATION

- ☒ University or other institution of higher education (*located in any country*)
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under statute of state of the United States of America (35 U.S.C. 201(i))
(Name of State _____)
(Citation of Statute _____)
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3)), if located in the United States of America
☐ Would qualify as Nonprofit Scientific or Educational under statute of state of the United States of America or would be tax exempt under the Internal Revenue Service Code (26 U.S.C. 501(a) and 26 U.S.C. 501(c)(3)) if located in the United States of America
(Name of State _____)
(Citation of Statute _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 C.F.R. § 1.27(a)(3), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention described in

- ☐ the specification filed herewith, with title as listed above.
☒ the application identified above.
☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to, and remain with, the nonprofit organization, with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as a person under 37 C.F.R. § 1.27(a)(1), if that person made the invention, or by any concern that would not qualify as a small business concern under 37 C.F.R. § 1.27(a)(2), or a nonprofit organization under 37 C.F.R. § 1.27(a)(3)

**NOTE: Separate statements should be obtained from each named person, concern or organization having rights to the invention as to their status as small entities.*

Each such person, concern or organization having any rights in the invention is listed below:

☒ No such person, concern, or organization exists.

☐ Each such person, concern or organization is listed below.

Name _____

Address _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

Name _____

Address _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any charge in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.27(g)(2))

NOTE: "The presentation to the Office (whether by signing, filing, submitting, or later advocating) of any paper by a party, whether a practitioner or non-practitioner, constitutes a certification under § 10.18(b) of this chapter. Violations of § 10.18(b)(2) of this chapter by a party, whether a practitioner or non-practitioner, may result in the imposition of sanctions under § 10.18(c) of this chapter. Any practitioner violating § 10.18(b) may also be subject to disciplinary action. See §§ 10.18(d) and 10.23(c)(15)." 37 C.F.R. § 1.4(d)(2).

Name of Person Signing Daniel S. Kastèn (Reg. 5,363)
Title in Organization Agent of Record
Address of Person Signing Howell & Haferkamp, L.C.
7733 Forsyth Blvd., Suite 1400, St. Louis, MO 63105

SIGNATURE  Date 10/10/01